

Please type a plus sign (+) inside this box → ☐

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

*U.S. Patent & Trademark Office*  
*#3*

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	09/825,139	
	Filing Date	April 3, 2001	
	First Named Inventor	David J. Wetherall	
	Group Art Unit	2661	
	Examiner Name	Not yet assigned	
Total Number of Pages in This Submission	12	Attorney Docket Number	41007.P005

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	1. Return Receipt Postcard
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	2. Signed Decl/POA (5 pages)
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	3. Copy of Notice to File Missing Parts (1 page)
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	4. Check # <u>5215</u> in the amount of \$612.00 for Missing Parts Fee
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Aloysius T.C. AuYeung COLUMBIA IP LAW GROUP, PC
Signature	<i>[Signature]</i>
Date	9/6/01

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <u>9/6/01</u>	
Typed or printed name	Michelle J. Turner
Signature	<i>[Signature]</i>
Date	September 6, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>FEE TRANSMITTAL</b> <b>for FY 2001</b>  Patent fees are subject to annual revision.	<b>C mplete if Kn wn</b>	
	Application Number	09/825,139
	Filing Date	April 3, 2001
	First Named Inventor	David J. Wetherall
	Examiner Name	Not yet assigned
	Group Art Unit	2661
<b>TOTAL AMOUNT OF PAYMENT</b>	(\$)	612.00
	Attorney Docket No.	41007.P005

<b>METHOD OF PAYMENT</b>	<b>FEE CALCULATION (continued)</b>																																																																																																																																																																																							
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:  Deposit Account Number: <b>501569</b> Deposit Account Name: <b>Columbia IP Law Group, LLC</b>  <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27	<b>3. ADDITIONAL FEES</b>																																																																																																																																																																																							
2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other	<table border="1"><thead><tr><th>Fee Code</th><th>Large Entity Fee (\$)</th><th>Small Entity Fee (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td>65.00</td></tr><tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr><tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr><tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for <i>ex parte</i> reexamination</td><td></td></tr><tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr><tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr><tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr><tr><td>116</td><td>390</td><td>216</td><td>195</td><td>Extension for reply within second month</td><td></td></tr><tr><td>117</td><td>890</td><td>217</td><td>445</td><td>Extension for reply within third month</td><td></td></tr><tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td>Extension for reply within fourth month</td><td></td></tr><tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td>Extension for reply within fifth month</td><td></td></tr><tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr><tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr><tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr><tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr><tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr><tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td>Petition to revive - unintentional</td><td></td></tr><tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td>Utility issue fee (or reissue)</td><td></td></tr><tr><td>143</td><td>440</td><td>243</td><td>220</td><td>Design issue fee</td><td></td></tr><tr><td>144</td><td>600</td><td>244</td><td>300</td><td>Plant issue fee</td><td></td></tr><tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr><tr><td>123</td><td>130</td><td>123</td><td>130</td><td>Petitions related to provisional applications</td><td></td></tr><tr><td>126</td><td>180</td><td>126</td><td>180</td><td>Submission of Information Disclosure Stmt</td><td></td></tr><tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr><tr><td>146</td><td>710</td><td>246</td><td>355</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr><tr><td>149</td><td>710</td><td>249</td><td>355</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr><tr><td>179</td><td>710</td><td>279</td><td>355</td><td>Request for Continued Examination (RCE)</td><td></td></tr><tr><td>169</td><td>900</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr><tr><td colspan="5">Other fee (specify) _____</td></tr><tr><td colspan="4"><b>SUBTOTAL (1)</b></td><td><b>(\$)</b> 355.00</td></tr></tbody></table>	Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath	65.00	127	50	227	25	Surcharge - late provisional filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	390	216	195	Extension for reply within second month		117	890	217	445	Extension for reply within third month		118	1,390	218	695	Extension for reply within fourth month		128	1,890	228	945	Extension for reply within fifth month		119	310	219	155	Notice of Appeal		120	310	220	155	Filing a brief in support of an appeal		121	270	221	135	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,240	241	620	Petition to revive - unintentional		142	1,240	242	620	Utility issue fee (or reissue)		143	440	243	220	Design issue fee		144	600	244	300	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	130	123	130	Petitions related to provisional applications		126	180	126	180	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)		146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))		149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))		179	710	279	355	Request for Continued Examination (RCE)		169	900	169	900	Request for expedited examination of a design application		Other fee (specify) _____					<b>SUBTOTAL (1)</b>				<b>(\$)</b> 355.00
Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																				
105	130	205	65	Surcharge - late filing fee or oath	65.00																																																																																																																																																																																			
127	50	227	25	Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																																				
139	130	139	130	Non-English specification																																																																																																																																																																																				
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination																																																																																																																																																																																				
112	920*	112	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																				
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																				
115	110	215	55	Extension for reply within first month																																																																																																																																																																																				
116	390	216	195	Extension for reply within second month																																																																																																																																																																																				
117	890	217	445	Extension for reply within third month																																																																																																																																																																																				
118	1,390	218	695	Extension for reply within fourth month																																																																																																																																																																																				
128	1,890	228	945	Extension for reply within fifth month																																																																																																																																																																																				
119	310	219	155	Notice of Appeal																																																																																																																																																																																				
120	310	220	155	Filing a brief in support of an appeal																																																																																																																																																																																				
121	270	221	135	Request for oral hearing																																																																																																																																																																																				
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																				
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																																				
141	1,240	241	620	Petition to revive - unintentional																																																																																																																																																																																				
142	1,240	242	620	Utility issue fee (or reissue)																																																																																																																																																																																				
143	440	243	220	Design issue fee																																																																																																																																																																																				
144	600	244	300	Plant issue fee																																																																																																																																																																																				
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																				
123	130	123	130	Petitions related to provisional applications																																																																																																																																																																																				
126	180	126	180	Submission of Information Disclosure Stmt																																																																																																																																																																																				
581	40	581	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																																				
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																																																				
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																																																				
179	710	279	355	Request for Continued Examination (RCE)																																																																																																																																																																																				
169	900	169	900	Request for expedited examination of a design application																																																																																																																																																																																				
Other fee (specify) _____																																																																																																																																																																																								
<b>SUBTOTAL (1)</b>				<b>(\$)</b> 355.00																																																																																																																																																																																				
<b>1. BASIC FILING FEE</b> <table border="1"><thead><tr><th>Large Entity Fee Code</th><th>Large Entity Fee (\$)</th><th>Small Entity Fee Code</th><th>Small Entity Fee (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>101</td><td>710</td><td>201</td><td>355</td><td>Utility filing fee</td><td>355.00</td></tr><tr><td>106</td><td>320</td><td>206</td><td>160</td><td>Design filing fee</td><td></td></tr><tr><td>107</td><td>490</td><td>207</td><td>245</td><td>Plant filing fee</td><td></td></tr><tr><td>108</td><td>710</td><td>208</td><td>355</td><td>Reissue filing fee</td><td></td></tr><tr><td>114</td><td>150</td><td>214</td><td>75</td><td>Provisional filing fee</td><td></td></tr></tbody></table> <b>SUBTOTAL (1)</b> (\$)	Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid	101	710	201	355	Utility filing fee	355.00	106	320	206	160	Design filing fee		107	490	207	245	Plant filing fee		108	710	208	355	Reissue filing fee		114	150	214	75	Provisional filing fee		<b>2. EXTRA CLAIM FEES</b> <table border="1"><thead><tr><th>Total Claims</th><th>Extra Claims</th><th>Fee from below</th><th>Fee Paid</th></tr></thead><tbody><tr><td>28</td><td>-20**= 8</td><td>9.00</td><td>72.00</td></tr><tr><td>Independent Claims: 6</td><td>-3**= 3</td><td>40.00</td><td>120.00</td></tr><tr><td>Multiple Dependent</td><td></td><td></td><td></td></tr></tbody></table> <table border="1"><thead><tr><th>Large Entity Fee Code</th><th>Large Entity Fee (\$)</th><th>Small Entity Fee Code</th><th>Small Entity Fee (\$)</th><th>Fee Description</th></tr></thead><tbody><tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in Excess of 20</td></tr><tr><td>102</td><td>80</td><td>202</td><td>40</td><td>Independent claims in excess of 3</td></tr><tr><td>104</td><td>270</td><td>204</td><td>135</td><td>Multiple dependent claim, if not paid</td></tr><tr><td>109</td><td>80</td><td>209</td><td>40</td><td>** Reissue independent claims over original patent</td></tr><tr><td>110</td><td>18</td><td>210</td><td>9</td><td>** Reissue claims in excess of 20 and over original patent</td></tr></tbody></table> <b>SUBTOTAL (2)</b> (\$)	Total Claims	Extra Claims	Fee from below	Fee Paid	28	-20**= 8	9.00	72.00	Independent Claims: 6	-3**= 3	40.00	120.00	Multiple Dependent				Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	103	18	203	9	Claims in Excess of 20	102	80	202	40	Independent claims in excess of 3	104	270	204	135	Multiple dependent claim, if not paid	109	80	209	40	** Reissue independent claims over original patent	110	18	210	9	** Reissue claims in excess of 20 and over original patent																																																																																																					
Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																			
101	710	201	355	Utility filing fee	355.00																																																																																																																																																																																			
106	320	206	160	Design filing fee																																																																																																																																																																																				
107	490	207	245	Plant filing fee																																																																																																																																																																																				
108	710	208	355	Reissue filing fee																																																																																																																																																																																				
114	150	214	75	Provisional filing fee																																																																																																																																																																																				
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																																																																																					
28	-20**= 8	9.00	72.00																																																																																																																																																																																					
Independent Claims: 6	-3**= 3	40.00	120.00																																																																																																																																																																																					
Multiple Dependent																																																																																																																																																																																								
Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description																																																																																																																																																																																				
103	18	203	9	Claims in Excess of 20																																																																																																																																																																																				
102	80	202	40	Independent claims in excess of 3																																																																																																																																																																																				
104	270	204	135	Multiple dependent claim, if not paid																																																																																																																																																																																				
109	80	209	40	** Reissue independent claims over original patent																																																																																																																																																																																				
110	18	210	9	** Reissue claims in excess of 20 and over original patent																																																																																																																																																																																				
<b>SUBTOTAL (3)</b> (\$)																																																																																																																																																																																								

<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Name (Print/Type)	Aloysius T.C. AuYeung	Registration No. (Attorney/Agent)	35,432
Signature		Telephone	503-534-2800
		Date	9/6/01

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application for:

Wetherall et al.

Application No.: 09/825,139

Filed: April 3, 2001

For: Independent Detection and  
Filtering of Undesirable Packets

Examiner: Not yet assigned

Art Group: 2661

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed Commissioner for Patents, Washington, DC 20231 on:

Date of Deposit: September 6, 2001Name of Person Mailing: Michelle J. TurnerSignature: [Signature] Date: 9.6.01

Box MISSING PARTS  
Commissioner for Patents  
Washington, DC 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF NONPROVISIONAL APPLICATION (FILING DATE GRANTED)**

Sir:

Enclosed for filing in the above-referenced patent application in response to the Notice to File Missing Parts of Nonprovisional Application dated July 6, 2001, are the following:


- (1) A check in the amount of \$612.00 which includes the following:
  - a. \$65.00 in payment of the surcharge of 37 C.F.R. § 1.16(e);
  - b. \$355.00 for the basic statutory filing fee;
  - c. \$72.00 for eight (8) claims in excess of twenty (20); and
  - d. \$120.00 for three (3) independent claims in excess of three (3).
- (2) A duly executed Declaration and Power of Attorney; and

(3) A copy of the Notice to File Missing Parts;

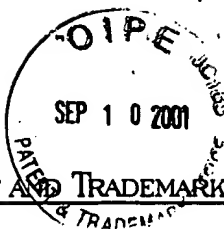
The Commissioner is hereby authorized to charge shortages or credit overpayments to Deposit Account No. 501569. A Fee Transmittal is enclosed in duplicate for fee processing purposes.

Respectfully submitted,  
COLUMBIA IP LAW GROUP, PC

Dated: 9/6, 2001

  
\_\_\_\_\_  
Aloysius T.C. AuYeung  
Registration No. 35,432

4900 SW Meadows Road, Suite 109  
Lake Oswego, Oregon 97035  
503-534-2800



# 3

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/825,139	04/03/2001	David J. Wetherall	41007.P005

CONFIRMATION NO. 1582

000025943  
COLUMBIA IP LAW GROUP, PC  
4900 SW MEADOWS ROAD, SUITE 109  
LAKE OSWEGO, OR 97035

## FORMALITIES LETTER



\*OC000000006267095\*

Date Mailed: 07/06/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$192.
  - \$72 for 8 total claims over 20.
  - \$120 for 3 independent claims over 3 .
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 612.

---

A copy of this notice **MUST** be returned with the reply.

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

09/11/2001 GTEFFERA 00000022 09825139

PART 2 - COPY TO BE RETURNED WITH RESPONSE

01 FC:201	355.00 OP
02 FC:205	65.00 OP
03 FC:203	72.00 OP
04 FC:202	120.00 OP